

# **Kansas Electronic Recordkeeping Strategy: A White Paper**

December 29, 1999

## Principles and Best Practices

**Principle 1: Agencies should maintain ongoing accessibility of records throughout their period of retention.**

### Best practices:

- ✓ Refresh physical storage media periodically to compensate for media degradation.
- ✓ Either store the supporting application software with data or convert it to new formats as systems change.
- ✓ Migrate data to new systems (desktop operating systems, network operating systems, enterprise management systems, etc) as they are implemented.

**Principle 2: Agencies should take measures to ensure the accurate and consistent application of retention schedules to their electronic records.**

### Best practices:

- ✓ Maintain metadata and documentation to identify appropriate retention periods.
- ✓ Use some combination of records management applications, user-based management, and extensions to existing applications and operating systems to both associate and apply retention schedules with the appropriate records.

**Principle 3: Electronic recordkeeping systems should be based on open standards, whenever practical.**

### Best practices:

- ✓ Whenever feasible, file formats, protocols and other system specifications adopted by state agencies should be those developed and adopted by recognized standards bodies such as the [International Organization for Standardization \(ISO\)](#), [Internet Engineering Task Force \(IETF\)](#) and [World Wide Web Consortium \(W3C\)](#).
- ✓ Continue to monitor and participate in the Kansas State Technical Architecture process, in order to ensure the adoption and implementation of appropriate standards.

**Principle 4: Agencies must manage access to their records in a manner that ensures public access rights while also protecting confidentiality.**

### Best practices:

- ✓ Capture and maintain system metadata for records that specifies appropriate access permissions.
- ✓ Provide online access to both active and inactive records, when appropriate.
- ✓ Maintain active communication between those responsible for electronic recordkeeping and those responsible for satisfying Open Records Act requests.
- ✓ When feasible, implement automatic measures for redacting confidential data from otherwise public records, rather than printing out documents and then redacting manually.

**Principle 5: Recordkeeping considerations should be addressed in the system planning and development stage rather than waiting until the end of the records lifecycle.**

Best practices:

- ✓ Include recordkeeping requirements in project plans and Requests for Proposals (RFPs) for new projects.
- ✓ Develop retention and disposition schedules, and recordkeeping plans when appropriate, as part of the system development process.
- ✓ Include records capture, identification, management and retention scheduling in the business rules of new systems.

**Principle 6: Agencies should take measures to ensure the reliability and authenticity of records throughout their period of retention.**

Best practices:

- ✓ Create and maintain metadata that adequately reflects the content, context and structure of records as they were originally created.
- ✓ Create and maintain system documentation.
- ✓ Maintain accurate system logs.
- ✓ Use authentication to identify the users of the system.
- ✓ Restrict write permissions on official records.
- ✓ Use some combination of records management applications, user-based management or extensions to existing applications and operating systems to create sufficient structural and contextual metadata at the point of record creation or shortly thereafter.
- ✓ When data is created and maintained in the course of a state activity that requires documentation, capture and maintain it as a record unit.
- ✓ Either encapsulate metadata into information objects themselves or provide appropriate links between information objects.
- ✓ Maintain appropriate links between database fields.